

## Exhibit 300: Capital Asset Plan and Business Case Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview

1. **Date of Submission:** 2011-02-25
2. **Agency:** 024
3. **Bureau:** 60
4. **Name of this Investment:** USCG - Core Accounting System (CAS) Suite
5. **Unique Project (Investment) Identifier (UPI):** 024-60-01-01-01-6104-00
6. **What kind of investment will this be in FY 2012?:** Operations and Maintenance
  - Planning
  - Full Acquisition
  - Operations and Maintenance
  - Mixed Life Cycle
  - Multi-Agency Collaboration
7. **What was the first budget year this investment was submitted to OMB?** FY2001 or earlier

8.
  - a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

"The Core Accounting System (CAS) Suite is in the Operations and Maintenance (O&M) State and is not planning a new system. The Core Accounting System (CAS) Suite is the primary accounting system for USCG, Transportation Security Agency (TSA), and Domestic Nuclear Detection Office (DNDO) which hosts a suite of applications at USCG Finance Center in Chesapeake, VA. The CAS suite includes the following applications: Oracle Federal Financials (OFF) (a COTS product that includes Accounts Receivable, Assets, Projects, Inventory, Accounts Payable, Purchasing, and General Ledger); Sunflower (property management system used by TSA); Finance and Procurement Desktop (FPD) (enterprise-wide accounting and procurement system assigned to assist in funds and procurement management); Workflow Imaging Network System (WINS) (imaging and document processing system feeding CAS); Contract Information Management System (CIMS) (contracts management feeding CAS). USCG reports CAS as a suite of applications, inclusive of OFF, Sunflower, FPD, WINS and CIMS. CAS Suite services over 2,400 units and commands across USCG, TSA and DNDO. CAS planning and development stages started in FY99 as a replacement for Department Accounting and Financial Information System. With the creation of Department of Homeland Security, DOT, DHS and OMB approved the CAS project (formerly known as the Coast Guard Oracle Financials, or CGOF project). On June 17, 2003, CAS went into full operation Coast Guard-wide. Implementation expanded to TSA in 2004, and DNDO in December 2006. The Department of Homeland Security's (DHS) Transformation and Systems Consolidation (TASC) effort will implement an enterprise financial management system baseline solution for all DHS components. It is the Coast Guard's intention to migrate the CAS suite to the proposed DHS solution as soon as possible. The schedule for the USCG's migration to the TASC baseline is to be determined. The Main USCG program supported by CAS is Ports Waterways and Coastal Security (PWCS), which received a Moderately Effective rating during its 2006 PART review".

- b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
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9.

a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**

2007-08-10

b. **Provide the date of the most recent or planned approved project charter.** 2010-01-1410. **Contact information?**a. **Program/Project Manager Name:** \***Phone Number:** \***Email:** \*b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** CG-841, James Malene**Phone Number:** \***Email:** \*

**11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA):** Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

## Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding  
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

**Table I.B.1: Summary of Funding**  
**(In millions of dollars)**

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”: 11

3. Insert the number of years covered in the column “BY+4 and beyond”: \*

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

\*

## Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Competed	Short description of acquisition
Awarded		HSCG2310FACR008		N/A	*	*							CIMS/PRISM Technical Program Management and User Support/Training Services
Awarded		HSCG2310JVCV007		N/A	*	*							Oracle Financial Systems and Network Operation Support Services
Awarded		<a href="#">HSHQDC06D00023</a>			*	*		Time and Materials	N	2006-06-28		Y	EAGLE - The contractor shall provide the full range of IT services, technical and management expertise, and solution-related enabling products in

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
													one or more of the functional categories to meet the mission needs of the Department of Homeland
Awarded		HSCG2307FHFG000		N/A	*	*							Markview/SQ L*Flow Annual License Renewal, Support, and software updates for USCG Enterprise-Wide License
Awarded		HSCG2305FFRL422		N/A	*	*							Financial Systems and Network Operations Support

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
Awarded		HSCG2307FFRL003		N/A	*	*							Technical Support
Awarded		HSCG2307FFRL006		N/A	*	*							Technology, operational and maintenance support services
Awarded		HSCG2307FFRL004		N/A	*	*							Provide data entry, scanning, and indexing support services for various types of documents as furnished by USCG Finance Center
Awarded		HSCG2306FFRL740		N/A	*	*							Maintenance and Support for USCG Superdome
Awarded		HSCG2308FFCV003		N/A	*	*							CIMS Maintenance, License and DBA Support

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Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
Awarded		<a href="#">HSCG2309CFRL012</a>			*	*		Fixed Price Incentive	X	2009-02-18		N	This will be a Firm Fixed Price Contract with base year and four one year options. Markview/SQ L*Flow Annual License Renewal, Support, and software updates for USCG Enterprise-Wide License.
Awarded		HSCG2309FFCV002		N/A	*	*							Tech support services for CAS
Awarded		HSCG2309FFRL063		N/A	*	*							Maintenance & Support for USCG Superdome
Awarded		HSCG2309FFRL050		N/A	*	*							HP Maintenance for handle USCGVAXP 12000



Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Completed	Short description of acquisition
Awarded		HSCG2310FVCV025		N/A	*	*							Service maintenance Renewal for SuperDome (DART & Casey)
Awarded		HSCG2309FFRL068		N/A	*	*							Renewal for Openview software support/upgrades. Reference HP System Handle USCGVAA1 HPSW

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

\*

3.

- a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow \*
- b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 \*
- c. Was the Acquisition Plan approved in accordance with agency requirements \*
- d. If "yes," enter the date of approval? \*
- e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? \*
- f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? \*
- g. If an Acquisition Plan has not been developed, provide a brief explanation.

\*



## Part II: IT Capital Investments

### Section A: General

1.
  - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. no
  - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education. yes
  
2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. n/a. the dhs transformation and system consolidation (tasc) project will replace the core accounting system (cas) suite.
  
3. Provide the date of the most recent or planned Quality Assurance Plan 2010-01-01
  
4.
  - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment. 024-60-01-03-01-6064-00
  - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s).  
024-60-01-03-01-6064-00,024-60-01-03-01-6010-00,024-60-02-00-01-6376-00
  
5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2005-06-30
  
6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2009-02-25

## Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
2006 and earlier	DME	*	\$85.6	\$85.6	2005-10-01	2005-10-01	2006-09-30	2006-08-30	100.00%	100.00%
Investment Milestone - Working 2	SS	*	\$30.7	\$30.7	2005-10-01	2005-10-01	2006-09-30	2006-08-30	100.00%	100.00%
2007 CAS O&M	SS	*	\$28.0	\$28.0	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00%	100.00%
2008 CAS O&M	SS	*	\$27.6	\$28.2	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
2009 CAS O&M	SS	*	\$36.6	\$36.6	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
2010 CAS O&M	SS	*	\$38.1	\$38.5	2009-10-01	2009-10-01	2010-09-30	2010-09-30	100.00%	99.00%
2011 CAS O&M	SS	*	\$34.4	\$8.3	2010-10-01	2010-10-01	2011-09-30		33.00%	33.00%
2012 CAS O&M	SS	*	*	*	2011-10-01	*	2012-09-30	*	*	*
2013 CAS O&M	SS	*	*	*	2012-10-01	*	2013-09-30	*	*	*
2014 CAS O&M	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*
2015 CAS O&M	SS	*	*	*	2014-10-01	*	2015-09-30	*	*	*

2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis. 2009-08-19

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation? no

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY “In-Kind” Contribution	CY Fee-for-Service	BY Monetary Contribution	BY “In-Kind” Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

## Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Processes and Activities	Errors	% of Category 1 (Urgent) Software Problem Report Response Time < 1 hr	annual	Percent	Maintain	TBD	2006-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2006	100%	TBD		2010-09-16
			2007	100%	TBD		2010-09-16
			2008	100%	TBD		2010-09-16
			2009	100%	TBD		2010-09-16
			2010	100%	TBD		2010-09-16
			2011	100%	TBD		2010-09-16
			2012	100%	TBD		2010-09-16
			2013	100%	TBD		2010-09-16
Customer Results	Customer Complaints	Number of Tier II Help Desk Trouble Tickets for CAS	annual	Number	Decrease	6983	2006-10-01
			Fiscal Year	Target	Actual Results	Target	Last Updated

Mission and Business  
ResultsReporting and  
InformationPercent of financial  
information accessible to  
users in reports

			"Met" or "Not Met"	
2006	5237	5167	Met	2010-09-16
2007	4975	4185	Met	2010-09-16
2008	5300	5288	Met	2010-09-16
2009	5300	5277	Met	2010-09-16
2010	5300	4598	Met	2010-09-16
2011	5300	TBD		2010-09-16
2012	5300	TBD		2010-09-16
2013	5300	TBD		2010-09-16
annual	Percent	Maintain	97%	2006-10-01
Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
2006	97%	99.85%	Met	2010-09-16
2007	97%	99.85%	Met	2010-09-16
2008	97%	99.85%	Met	2010-09-16
2009	97%	99.46%	Met	2010-09-16



Technology	Availability	System availability during 24x7 operation hours	2010	97%	98.21%	Met	2010-09-16
			2011	97%	TBD		2010-09-16
			2012	97%	TBD		2010-09-16
			2013	97%	TBD		2010-09-16
			annual	Percent	Maintain	97%	2006-10-01
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2006	97%	99.85%	Met	2010-09-16
			2007	97%	97.82%	Met	2010-09-16
			2008	97%	99.85%	Met	2010-09-16
			2009	97%	100%	Met	2010-09-16
			2010	97%	98.21%	Met	2010-09-16
			2011	97%	TBD		2010-09-16
			2012	97% Availability	TBD		2010-09-16
			2013	97% Availability	TBD		2010-09-16

\* - Indicates data is redacted.